



Attorney Docket No. 51916 (ACT-121)

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

APPLICANT: Steinberg et al.

U.S.S.N.: 09/614,155

Art Unit: 2839

FILED: July 11, 2000

Examiner: Hae M. Hyeon

FOR: OPEN FACE OPTICAL FIBER ARRAY FOR COUPLING TO INTEGRATED OPTIC  
WAVEGUIDES AND OPTOELECTRONIC SUBMOUNTS

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**CERTIFICATE OF MAILING**

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on -

5/10/04

By: Deanna M. Rivernider  
Deanna M. Rivernider

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**SUPPLEMENTAL  
INFORMATION DISCLOSURE STATEMENT**

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Dear Sir:

Pursuant to 37 C.F.R. §§ 1.97 and 1.98, applicant(s) hereby submit(s) an Information Disclosure Statement for consideration by the Examiner.

**I. LIST OF PATENTS, PUBLICATIONS OR OTHER INFORMATION**

The patents, publications or other information submitted for consideration by the Examiner are listed on the PTO-1449 form, attached hereto. The documents submitted were not previously cited.

**II. COPIES**

Submitted herewith is a legible copy of (i) each U.S and foreign patent or English abstract of foreign patent; (ii) each publication or that portion which caused it to be listed; and (iii) all other information or that portion which caused it to be listed.

**III. CONCISE EXPLANATION OF THE RELEVANCE**

All of the patents, publications or other information are in the English language or were cited in an English language Search Report, a copy of which is attached hereto (concise explanation not required).

**FEES**

**IV. THIS IDS IS BEING FILED UNDER 37 C.F.R. § 1.97(b)**

(check one box)

- a. ☐ within three months of the filing date of a national application (37 C.F.R. § 1.97(b) (1)). No fee or certification is required.
- b. ☐ within three months of the date of entry of the national stage as set forth in § 1.491 in an international application (37 C.F.R. § 1.97(b) (2)). No fee or certification is required.
- c. ☒ before the mailing date of a first Action on the merits (37 C.F.R. § 1.97(b) (3)). No fee or certification is required. In the event that a first Office Action on the merits has been issued, please consider this IDS under 37 C.F.R. § 1.97(c) and see the certification under 37 C.F.R. § 1.97(e) below, or, if no certification has been made, charge our deposit account a fee in the amount of \$240.00 as required by 37 C.F.R. § 1.17(p).

**V. THIS IDS IS BEING FILED UNDER 37 C.F.R. § 1.97(c):**

(check one box)

before the mailing date of a Final Office Action under 37 C.F.R. § 1.113 (See 37 C.F.R. § 1.97(c) (1)) or before the mailing date of a Notice of Allowance under 37 C.F.R. § 1.311 (See 37 C.F.R. § 1.97(c) (2)).

- a. ☐ No certification; therefore, a fee in the amount of \$180.00 is required by 37 C.F.R. § 1.17(p).  
or
- b. ☐ See the certification below. No fee is required.

**VI. CERTIFICATION UNDER 37 C.F.R. § 1.97(e) (check only one box)**

The undersigned hereby certifies that

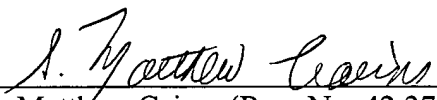
- a. ☐ each item of information contained in the IDS was cited in a communication from a foreign Patent Office in a counterpart foreign application not more than three months prior to the filing of this IDS; or
- b. ☐ no item of information contained in the IDS was cited in a communication from a foreign Patent Office in a counterpart foreign application or, to the best of my knowledge after making reasonable inquiry, was known to any individual designated in 37 C.F.R. § 1.56(c) more than three months prior to the filing of this statement.

- c. ☐ Some of the items of information were cited in a communication from a foreign Patent Office. As to this information, the undersigned certifies that each item of information contained in the IDS was cited in a communication from a foreign Patent Office in a counterpart foreign application not more than three months prior to the filing of this IDS. As to the remaining information, the undersigned hereby certifies that no item of this remaining information contained in the IDS was cited in a communication from a foreign Patent Office in a counterpart foreign application or, to the best of my knowledge after making reasonable inquiry, was known to any individual designated in 37 C.F.R. § 1.56(c) more than three months prior to the filing of this statement.

- ☐ Enclosed please find a check in the amount of \$\_\_\_\_\_ for the above indicated fee.
- ☐ Please charge Deposit Account No. 04-1105 in the amount of \$180.00 for the above-indicated fee. A triplicate copy of this paper is attached.
- ☒ No fee is required.

If the Examiner has any questions concerning this IDS, he/she is requested to contact the undersigned. If it is determined that this IDS has been filed under the wrong rule, the PTO is requested to consider this IDS under the proper rule (with a petition, if necessary) and charge the appropriate fee to Deposit Account No. 04-1105.

Respectfully submitted,

  
S. Matthew Cairns (Reg. No. 42,378)  
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Sheet 1 of 1

**LIST OF ART CITED BY APPLICANT**

(Use several sheets if necessary)

Atty Docket No. 51916 (ACT-121)	Serial No. 09/614,155
Applicant Dan A. STEINBERG et al.	
Filing Date 07/11/2000	Group 2839

**U.S. Patent Documents**

EXAMINER INITIALS		DOCUMENT NUMBER	DATE	NAME	Class/Subclass	FILING DATE IF APPROPRIATE
	AA	4,165,496	08/21/1979	Di Domenico, Jr. et al.		
	AB	4,296,995	10/27/1981	Bickel		
	AC	4,900,118	02/13/1990	Yanagawa et al.		
	AD	5,390,266	02/14/1995	Heitmann et al.		
	AE	5,566,262	10/15/1996	Yamane et al.		
	AF	5,568,585	10/22/1996	Kramer		
	AG	6,056,696	05/02/2000	Kallman		
	AH	6,086,704	06/11/2000	Kanai et al.		
	AI	6,363,201	03/2002	Sherrer et al.		
	AJ	6,523,204	02/2003	Sherrer et al.		
	AK	6,595,700	07/2003	Steinberg et al.		

**FOREIGN PATENT DOCUMENTS**

		DOCUMENT NUMBER	DATE	COUNTRY	Class/Subclass	Translation Yes/No
	AL					
	AM					
	AN					
	AO					
	AP					

**OTHER ART (Including Author, Title, Date, Pertinent Pages, etc.)**

	AQ	
	AR	
	AS	

Examiner

Date Considered

\*EXAMINER: Initial document considered, whether or not citation is in conformance with MPEP 609; draw line through citation if not conformance and not considered. Include copy of this form with next communication to applicant.